



3624

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re the Application of:
Kendrick W. Kan,
Bruce L. Horn
Title:
**Internet-Based System for Identification,
Measurement and Ranking of Investment
Portfolio Management, and Operation
of a Fund Supermarket, Including "Best
Investor" Managed Funds**
Serial No. 09/836,694
Filed: April 17, 2001

) Attorney Docket No.
) **26592-004REG US**
)
) Group Art Unit: 3624
) Examiner: Weisberger, Richard C.
) Telephone: (703) 308-4408
)
)
) Date of Mailing: January 13, 2003
)

Certification under 37 CFR 1.8	Mail Deposit Date: _____
I hereby certify that the correspondence is being deposited on the above stated date with the United States Post Office as First Class Mail, in an envelope addressed to the Assistant Commissioner for Patents, Washington, D.C. 20231	
Name: <u>Jana L. Dulin</u>	Signature: <u><i>Jana L. Dulin</i></u>

SUPPLEMENTAL INFORMATION DISCLOSURE STATEMENT
UNDER 37 CFR §1.97

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JAN 22 2003
GROUP 3600

Assistant Commissioner for Patents
Washington, D.C. 20231

Sir:

Applicant(s) wish to disclose the following information under rule 97:

REFERENCES

- ☒ The Applicant(s) wish to make of record the references listed on the attached Form PTO-1449. Copies of the listed references are attached, where required.
- ☐ The Applicant(s) wish to make of record the references cited in the copending related US Application Serial Number 09/610,164 filed July 5, 2000. Copies of the references are attached.

RELATED CASE(S)

☒ Applicant has filed the following related U.S. application:

This Application is based on the following three Provisional Applications, all filed by the same inventors under the same application title: 60/197,569 filed April 17, 2000; 60/231,058

filed September 8, 2000; and 60/261,885 filed January 16, 2001; and of the following Regular Applications filed by Bruce Horn and Blake Ward: System And Method For Generating Personalized Messages, USSN 09/610,164, filed July 5, 2000; System and Method For Determining and Tracking Performance Metrics For Individual Investors, USSN 09/610,160, filed July 5, 2000; and System And Method For Ranking Individual Investors And Filtering Commentary Based On Ranking, USSN 09/610,163, filed July 5, 2000.

CERTIFICATION

The undersigned certifies that:

☒ [X] No Office Action has been received in this case.

☐ [] The reference(s) disclosed herein were previously disclosed in the original priority application Specification as filed _____, or/and the relevance to the present application described therein.

☐ [] The _____ publications were cited in a communication from a foreign patent office in Applicant's _____ counterpart foreign application.

FEE PAYMENT

☒ [X] It is believed that no fee is due for the papers being filed herewith.

☐ [] Enclosed is a check in the amount of \$_____ for the fees due under §1.17(p) for the papers being filed herewith.

☐ [] Please charge Deposit Account No. 04-1699 in the amount of \$_____ for the fees due under §1.17(p) for the papers being filed herewith. A duplicate of this sheet is enclosed.

☒ [X] If the fees as submitted above are not correct or a fee is required, please charge any additional fees, or credit any overpayment, to Deposit Account No. 04-1699. Please reference the Attorney Docket number 26592-004REG US in recording any fee charge made.

Encl: 1449

Copies of 2 References

DATE: January 13, 2003

Innovation Law Group, Ltd.
271 S. 7th Avenue, Suite 24
Sequim, WA 98382-3652
Telephone: (360) 681-7305
Facsimile: (360) 681-7315
Email: Dulin@InnovationLaw.com

Respectfully submitted,

By Jacques M. Dulin
Jacques M. Dulin, Esq.
Registration No. 24,067

